

Continuity Assessment Tool Review Activities

- *Essential Functions Assessment*
- *Continuity Facilities Assessment*
- *Test, Training & Exercises Assessment*

CAT PROCESS

The process provided below is the recommended method to apply this tool:

Step 1: The continuity manager meets with functional representatives (i.e., IT manager, HR manager, Security managers, etc.) of the organization to review the CAT.

Step 2: With the assistance of the continuity manager, the functional representatives review their respective characteristics.

Answer each characteristic “Yes”, “No”, or “Not Applicable” (N/A). Flexibility is built into the assistance tool. Therefore, “Not Applicable” (N/A) may be used for those characteristics that do not apply.

Some characteristics are identified as “critical” and are denoted with an asterisk (*) following the number. These critical characteristics represent high priority criteria necessary for functional continuity programs and plans. Responding “No” for these characteristics denote primary areas of focus for the organization. Funding and resources should be appropriately allocated to fulfill these critical areas to build a viable continuity capability.

Step 3: For each characteristic, a “comments” section is provided to enter any helpful notes.

Step 4: For each CMF, tally all Characteristics to obtain the “Yes”, “No”, and “N/A” CMF totals. Record this tally in the CMF header.

Step 5: Capture each CMF total in Table 2 - Continuity Management Functions Summary on page 2.

Table 1: Continuity Management Functions Summary

Continuity Category	CMF	Continuity Management Function	Total Yes	Total No	Total N/A
Elements of a Viable Continuity Capability	1.1	Essential Functions			
	1.2	Orders of Succession			
	1.3	Delegations of Authority			
	1.4	Continuity Facilities			
	1.5	Continuity Communications			
	1.6	Vital Records Management			
	1.7	Human Capital			
	1.8	Test, Training, and Exercise Program			
	1.9	Devolution of Control and Direction			
	1.10	Reconstitution Operations			
Continuity Program Foundation	2.1	Program Plans and Procedures			
	2.2	Risk Management			
	2.3	Budgeting and Acquisition of Resources			
	2.4	Continuity Plan Operational Phases and Implementation (Appendix A)			

CONTINUITY ASSISTANCE TOOL

I ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.1 ESSENTIAL FUNCTIONS A subset of overall organization activities that are determined to be critical. These functions enable the organization to provide vital services, exercise civil authority, maintain the safety of the community, and sustain the industrial/economic base during an emergency. The functions must be continued under any and all circumstances.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.1.1	<i>Identify and prioritize all Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.1.1*	Has the organization identified its Essential Functions and documented them in its continuity plan? [CGC 1 Annex D, Page D-1]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.1.2	Has the organization documented all of the requirements and procedures needed to perform Essential Functions, such as the establishment of contingency plans in the event that key resources are not available? [CGC 1 Annex A, Page A-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.1.1.3	Does the organization review its Essential Functions to determine those directed by applicable laws and statutory authorities? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.1.4	Has the organization conducted a Business Process Analysis (BPA) to determine the Essential Functions that must be performed under all circumstances either uninterrupted, with minimal interruption, or requiring immediate execution in an emergency? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attribute				
1.1.2	<i>Identify and prioritize all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.2.1	Has the organization conducted a BPA to identify and map the functional processes, workflows, activities, resources, personnel expertise, supplies, equipment, infrastructures, systems, data, and facilities inherent to the execution of each identified essential function? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.2.2	Has the organization head or designee validated and approved the identified Essential Functions? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.1.2.3	Has the organization head or designee validated and approved the BPA? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.2.4	Has the organization determined the Essential Functions that need to be continued uninterrupted or need to be resumed within 12 hours, regardless of circumstance? [CGC 1 Annex D, Page D-4]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attribute				
1.1.3	<i>Identify and consider the interdependencies needed to perform all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.3.1	Has the organization identified how each Essential Function is performed and executed, using a business-process flow map? [CGC 1 Annex D Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.3.2	Has the organization identified internal and external interdependencies that are part of and/or influence each Essential Function business process? [GCG 1 Annex D Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Attribute				
1.1.4	<i>Identify and consider the interdependencies needed to perform all organizational Essential Functions to enable the organization to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during any emergency.</i>			
Characteristics				
1.1.4.1	Has the organization identified those Essential Functions that provide interdependent support to an Essential Function performed by another organization or to an Emergency Support Function (ESF) under the National Response Framework (NRF)? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.4.2	Has the organization identified those Essential Functions that require vital support from another organization to ensure the execution of their mission? [CGC 1 Annex D, Pg D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.4.3	Do the organization's continuity plans and procedures include considerations for the particular interdependencies identified within the BPA for each Essential Function, to include identifying when and where each interdependency would be executed? [CGC 1 Annex D, Page D-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.4 CONTINUITY FACILITIES Locations from which the organization leadership and critical positions may operate during a continuity event. This may include one or many facilities or virtual offices from which to continue essential operations.		Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.4.1	<i>Identify alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework, based on the findings of applicable risk assessments, to provide survivable protection and sustain continued, endurable operations under any circumstances.</i>			
Characteristics				
1.4.1.1*	Does the organization identify and maintain at least one alternate facility, which could include alternate usages of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff; located where the potential disruption of the organization’s ability to initiate and sustain operations is minimized? [CGC Annex G, Page G-1]	Yes	No	N/A
	<u>Comments:</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.2*	Do the organization’s alternate facilities have sufficient distance between each facility location or threatened area and other facilities (hazardous materials sites, nuclear power plants) or locations (areas subject to natural disasters such as hurricanes and earthquakes) that are potential sources of disruptions or threats, as determined by an all-hazards risk assessment of each facility? [CGC 1 Annex G, Page G-1]	Yes	No	N/A
	<u>Comments:</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.4.1.3*	Does the organization have a signed Memorandum of Agreement (MOA)/ Memorandum of Understanding (MOU) for all alternate facilities where it is co-located with another organization or for alternate facilities it neither owns nor leases, as applicable? [CGC 1 Annex G, Page G-4]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.4	Does the organization review all alternate facility leases and MOAs/MOUs annually? [CGC 1 Annex G, Page G-4]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.5	Does the organization have an all-hazards risk assessment that includes identification of all hazards that may affect each facility, for all continuity facilities? [CGC 1 Annex G, Page G-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.6	Does the organization risk assessment include a vulnerability assessment that determines the effects of all hazards on each facility? [CGC 1 Annex G, Page G-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.7	Does the organization risk assessment include a cost-benefit analysis of implementing risk mitigation, prevention, or control measures for each facility? [CGC 1 Annex G, Page G-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.4.1.8	Does the organization risk assessment include a formal analysis by management of acceptable risk for each facility? [CGC 1 Annex G, Page G-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.9	Does the organization reevaluate its alternate facilities, to include virtual office options including telework, for suitability and functionality, at least annually and whenever the organization’s continuity plans are reviewed and updated? [CGC 1 Annex G, Pg. G-3]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.1.10	Does the organization identify alternate facilities and provide the necessary data, as identified in the CGC 1, on all continuity facilities? [CGC 1 Annex G, Page G-1]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attribute				
1.4.2	<i>Equip all organization’s alternate facilities, to include existing facilities and as appropriate, virtual office options including telework, with appropriate resources to maintain survivable protection and sustain continued, endurable operations under any circumstances.</i>			
Characteristics				
1.4.2.1*	Do the organization’s alternate facilities include considerations for health, safety, and security of employees who have been relocated to all alternate sites, to include food, water, and hygiene products in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resume?. [CGC 1 Annex G, Page G-1]	Yes	No	N/A
	<i>Comments:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.4.2.2*	<p>Do the organization’s alternate facilities, to include virtual office options including telework, include reliable logistical support, services, and infrastructure systems, to include information technology technical support; fuel; medical services and facilities; municipal services; and power, in sufficient quantities to sustain operations and to carry out Essential Functions for up to 30 days or until normal business activities can be resumed? [CGC 1 Annex G, Page G-5]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.4.2.3*	<p>Do the organization’s alternate facilities, to include virtual office options including telework, provide sufficient space, equipment and other resources, to include computer equipment, software, and other automated data processing equipment, to sustain the organization’s Essential Functions, as appropriate, Emergency Relocation Group (ERG), and support staff? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.4.2.4	<p>Does the organization establish procedures for the orientation of continuity personnel on the alternate facilities? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.4.2.5	<p>Does the organization establish procedures for conducting operations and administration at all alternate facilities? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.4.2.6	<p>Does the organization evaluate daily operating facilities for hardness (i.e. identify “hardness”) in accordance with applicable organizational standards? [CGC 1 Annex G, Page G-1]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>

1.4.2.7	Do the organization's alternate facilities, to include virtual office options including telework, replicate essential capabilities by providing systems and configurations that are used in daily activities? [CGC 1 Annex G, Pg. G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.4.2.8	Do the organization's plans and procedures identify the interoperable communications systems, including the means for secure communications as appropriate, to allow for effective interaction with identified essential internal and external organizations, as well as with customers and the public, needed at all alternate facilities, to include virtual office options including telework? [CGC 1 Annex G, Page G-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.4.2.9	Do the organization's alternate facilities, to include virtual office options including telework, have pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
Attribute				
1.4.3	<i>Provide survivable protection and sustain continued, endurable operations under any circumstances from all organization's alternate facilities, to include alternate usages of existing facilities and as appropriate, virtual office options including telework.</i>			
Characteristics				
1.4.3.1*	Do the organization's alternate facilities maintain emergency/back-up power capability, so that Essential Functions and operations continue in the event the primary source of power is disrupted? [CGC 1 Annex G, Page G-4]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

1.4.3.2	<p>Within the past year, has the organization trained and prepared their personnel for the possibility of an unannounced relocation to all alternate facilities, to include virtual office options, telework, as reflected in the organization's training records? (Training date and those attending the training should be documented) [CGC 1 Annex G, Page G-1]</p>	Yes	No	N/A
	<p><i>Comments:</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.3.3	<p>Do the organization's alternate facilities define a transportation support plan and transportation resource requirements, to include transportation to/from the site and on the site, as applicable, that describes procedures for continuity events both with warning and with no warning? [CGC 1 Annex G, Page G-4]</p>	Yes	No	N/A
	<p><i>Comments:</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.3.4	<p>Does the organization continuity plans address housing to support continuity personnel at or near the alternate facility sites? [CGC 1 Annex G, Page G-4]</p>	Yes	No	N/A
	<p><i>Comments:</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1 ELEMENTS OF A VIABLE CONTINUITY CAPABILITY				
CAT Number	Continuity Management Function	Tally		
1.8 TEST, TRAINING, AND EXERCISE PROGRAM	Identifies, trains, and prepares personnel capable of performing their continuity responsibilities and implementing procedures to support the continuation of the organization's Essential Functions. Training provides the skills and familiarizes personnel with procedures and tasks. Tests and exercises serve to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities.	Number of Yes:		
		Number of No:		
		Number of N/A:		
Attribute				
1.8.1	<i>Create, execute, and document an effective organization-wide continuity <u>testing</u> program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.1.1*	Has the organization developed and maintained a continuity Test, Training, & Exercise (TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continuation of the performance of Essential Functions? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.2*	Does the organization conduct annual testing of alert, notification, and activation procedures for all continuity personnel? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.3*	Does the organization conduct annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.8.1.4*	Does the organization test and validate equipment to ensure the internal and external interoperability and viability of communications systems, through quarterly testing of the continuity communications capabilities outlined in CGC 1 Annex H (e.g., nonsecure and secure, if applicable, voice and data communications)? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.5*	Does the organization annually test the capabilities required to perform the organization's Essential Functions, as identified in the Business Process Analysis (BPA)? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.6	Does the organization conduct annual testing of plans for recovering vital records (both unclassified and classified, if applicable), critical information systems, services, and data? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.7	Does the organization conduct annual testing and exercising of required physical security capabilities at its alternate facilities? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.1.8	Does the organization formally document and report all conducted tests and their results, as applicable? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

1.8.1.9	Does the organization conduct annual testing of internal and external interdependencies as identified in the organization's continuity plan, with respect to performance of the organization's and other organizations' Essential Functions? [CGC 1 Annex K, Page K-1]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
Attribute				
1.8.2	<i>Create, execute, and document an effective organization-wide continuity <u>training</u> program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.2.1*	Does the organization conduct annual training on the roles and responsibilities for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations? (Training date and those participating in the training should be documented in writing for all continuity training activities) [CGC1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.8.2.2	Does the organization conduct and document annual continuity awareness briefings (or other means of orientation) for the entire workforce? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				
1.8.2.3	Does the organization conduct and document annual training for the organization's leadership on that organization's Essential Functions, including training on their continuity responsibilities? [CGC 1 Annex K, Page K-2]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<i>Comments:</i>				

1.8.2.4	Does the organization conduct and document personnel briefings on organizational continuity plans that involve using or relocating to alternate facilities, existing facilities, or virtual offices? [CGC 1 Annex K, Page K-2] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.2.5	Does the organization conduct annual and document training for all reconstitution plans and procedures to resume normal organizational operations from the original or replacement primary operating facility? [CGC 1 Annex K, Page K-2] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.2.6	Does the organization document all training sessions within an annual report, to include the type of training conducted, the date of each training session, those completing the training, and by whom the training was given? [CGC 1 Annex K, Page K-2] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Attribute				
1.8.3	<i>Create, execute, and document an effective organization-wide exercise program that demonstrates, assesses, and improves an organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.3.1	Does the organization's exercise program align with the DHS-mandated National Exercise Program (NEP), as appropriate? [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.3.2	Does the organization's TT&E program provide an annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures while demonstrating the organization's capability to continue its Essential Functions? (All continuity exercise dates and those participating in the exercise should be documented in writing) [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

1.8.3.3	Does the organization conduct an annual exercise that incorporates the deliberate and preplanned movement of continuity personnel to an alternative facility or location? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.4	Does the organization TT&E program provide an opportunity to demonstrate its intra- and inter-organizational continuity communications capabilities? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.5	Does the organization's TT&E program provide an opportunity to demonstrate that backup data and records required for supporting Essential Functions at alternate facilities or locations are sufficient, complete, and current? [CGC 1 Annex K, Pg. K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.6	Does the organization's TT&E program provide an opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities, when appropriate? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.7	Does the organization's TT&E program provide an annual opportunity for continuity personnel to demonstrate their familiarity with the organization's devolution procedures? [CGC 1 Annex K, Page K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			
1.8.3.8	Does the organization conduct a comprehensive debriefing after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the organization's continuity plan? [CGC 1 Annex K, Pg. K-3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Comments:</i>			

Attribute				
1.8.4	<i>Maintain an organizational Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations that improves the organization's ability to execute its continuity program, plans, and procedures and perform its Essential Functions during all continuity events.</i>			
Characteristics				
1.8.4.1	Has the organization developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency operations? [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.4.2	Does the organization incorporate evaluations, after-action reports, and lessons learned from a cycle of events into the development and implementation of its CAP? [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.4.3	Does the organization's continuity personnel conduct and document annual assessments of their continuity TT&E programs and continuity plans and programs? [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.4.4	Does the organization's continuity personnel report the findings of all annual assessments, as deemed appropriate? [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
1.8.4.5	Does the organization's CAP identify continuity deficiencies and other areas requiring improvement? [CGC 1 Annex K, Page K-3] <i>Comments:</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

1.8.4.6	<p>Does the organization’s CAP provide responsibilities and a timeline for corrective action? [CGC 1 Annex K, Page K-3]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.8.4.7	<p>Does the organization’s CAP identify programs and other continuity funding requirements for submission to the organization’s leadership? [CGC 1 Annex K, Page K-3]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.8.4.8	<p>Does the organization’s CAP identify and incorporate efficient acquisition processes, and where appropriate, collect all inter-organization requirements into one action? [CGC 1 Annex K, Page K-3]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>
1.8.4.9	<p>Does the organization’s CAP identify continuity personnel requirements, the organization’s leadership, and their supporting Human Resource Offices? [CGC 1 Annex K, Page K-3]</p> <p><i>Comments:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>	<p>N/A <input type="checkbox"/></p>

CONTINUITY PRACTITIONER COURSES: Organizations are encouraged to enroll in the Continuity of Operations Excellence Series. The series provides a curriculum for certification as either a Professional Continuity Practitioner (Level I) or Master Continuity Practitioner (Level II).

Continuity of Operations Excellence Series Training- Level I

- IS 546 or IS 546.a: COOP Awareness Course;
- IS 547 or IS 547.a: Introduction to COOP;
- IS 242 or equivalent E/L/G course: Effective Communication;
- E/L/G 548 or IS 548: COOP Manager’s Train-the-Trainer Course or E/G/L 549: Continuity of Operations (COOP) Program Manager Course or MGT 331 University of Maryland Preparing the States Continuity Courses;
- B/E/L 550 or IS 550: COOP Planner’s Train-the-Trainer Workshop;
- IS 100: Introduction to Incidental Command System (ICS); or ICS 100: Introduction to Incident Command System (ICS) or ICS 200: Incident Command System (ICS) for Single Resources and Initial Action Incidents;
- IS 230 or equivalent E/L/G course: Principles of Emergency Management or IS 230.a: Fundamentals of Emergency Management;
- IS 700.a: Introduction to National Incident Management System (NIMS) or IS 700;
- IS 800.b: A National Response Framework (NRF), an Introduction;
- E 136 or IS 139: Exercise Development Course/Exercise Design Course/or COOP Exercise Design/Development Train-the-Trainer Course;
- Complete attendance in continuity exercise Pandemic Influenza (PI) Determined Accord Workshop or IS 520: Introduction to Continuity of Operations Planning for Pandemic Influenzas and IS 522: Pandemic Influenza Exercise Course (both Independent Study courses are required);
- NARA/CoSA Vital Records Training (optional, recommended)

Continuity of Operations Excellence Series Training- Level II

- Applicants must attain a Continuity of Operations Excellence Series – Level I, Professional Continuity Practitioner;
- IS 130: Exercise Evaluation and Improvement Planning or E 132 (limited to EMI Resident MEPP candidates) or G130: Exercise Evaluation;
- IS 240 or equivalent E/L/G course: Leadership and Influence;
- E/L/G or IS 551: Devolution Planning Workshop;
- E/L 156 or IS 156: Building Design for Homeland Security Train-the-Trainer Course for Continuity of Operations or E/L 155: Building Design for Homeland Security
- E/L 262: Instructional Delivery for Subject Matter Experts or G 265: Instructional Delivery Skills (formerly G 261: Instructional Presentation Skills) or E 605: Instructional Delivery;
- Instruct E/L/G or IS 548 COOP Manager’s Train-the-Trainer Course;
- Facilitate E/L 550 or IS 550 COOP Planner’s Train-the-Trainer Workshop or E/L/G or IS 551 Devolution Planning Workshop or Determined Accord Pandemic Preparedness Workshop for Continuity Managers;
- Written Comprehensive Exam (150 questions) - Applicants are eligible to take exam once all other Level II requirements have been met. A score of 70% is required for passing.

To request a date to take the exam send an email to FEMA-NCP-FEDERAL-CONTINUITY@dhs.gov